

06/08/01  
JC970 U.S. PTO

**PATENT APPLICATION**  
**SHERMAN & SHERMAN REF. NO.: ROS2.0002**

J1017 U.S. PTO  
09/877433  
06/08/01

**WARNING:** Do not use this transmittal for a completion in the U.S. of an International Application under 35 U.S.C. 371(c)(4), unless the International Application is being filed as a divisional, continuation or continuation-in-part application.

**WARNING:** *Do not use this transmittal for the filing of a provisional application.*

**NOTE:** If one of the following 3 items apply then complete and attach **ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF A PRIOR U.S. APPLICATION CLAIMED** and a **NOTIFICATION IN PARENT APPLICATION OF THE FILING OF THIS CONTINUATION APPLICATION**.

- ☐ Divisional
- ☐ Continuation
- ☐ Continuation-in-part (C-I-P)

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**2. Benefit of Prior U.S. Application(s)**

**NOTE:** A nonprovisional application may claim an invention disclosed in one or more prior filed copending nonprovisional applications or copending international applications designating the United States of America. In order for a nonprovisional application to claim the benefit of a prior filed copending nonprovisional application or copending international application designating the United States of America, each prior application must name as an inventor at least one inventor named in the later filed nonprovisional application and disclose the named inventor's invention claimed in at least one claim of the later filed nonprovisional application in the manner provided by the first paragraph of 35 U.S.C. 112. Each prior application must also be:

- (i) An international application entitled to a filing date in accordance with PCT Article 11 and designating the United States of America; or
- (ii) Complete as set forth in § 1.51(b); or
- (iii) Entitled to a filing date as set forth in § 1.53(b) or § 1.53(d) and include the basic filing fee set forth in § 1.16; or
- (iv) Entitled to a filing date as set forth in § 1.53(b) and have paid therein the processing and retention fee set forth in § 1.21(l) within the time period set forth in § 1.53(f).

37 CFR § 1.78(a)(1).

**NOTE:** If the new application being transmitted is a divisional, continuation or a continuation-in-part of a parent case, or where the parent case is an International Application which designated the U.S., or benefit of a prior provisional application is claimed, then check the following item and complete and attach **ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED**.

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**WARNING:**

If an application claims the benefit of the filing date of an earlier filed application under 35 U.S.C. 120, 121 or 365(c), the 20-year term of that application will be based upon the filing date of the earliest U.S. application that the application makes reference to under 35 U.S.C. 120, 121 or 365(c). (35 U.S.C. 154(a)(2) does not take into account, for the determination of the patent term, any application on which priority is claimed under 35 U.S.C. 119, 365(a) or 365(b)). For a c-i-p application, applicant should review whether any claim in the patent that will issue is supported by an earlier application and, if not, the applicant should consider canceling the reference to the earlier filed application. The term of a patent is not based on a claim-by-claim approach. See Notice of April 14, 1995, 60 Fed. Reg. 20, 195, at 20,205.

**WARNING:**

When the last day of pendency of a provisional application falls on a Saturday, Sunday, or Federal holiday within the District of Columbia, any nonprovisional application claiming benefit of the provisional application must be filed prior to the Saturday, Sunday, or Federal holiday within the District of Columbia. See 37 CFR § 1.78(a)(3).

- [ ] The new application being transmitted claims the benefit of prior U.S. application(s).  
Enclosed are ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE  
BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.

**3. Papers Enclosed**

- A. Required For Filing Date Under 37 § CFR 1.53(b) (Regular) or 37 § CFR 1.153  
(Design) Application

Pages of Specification	<u>11</u>
Pages of Claims	<u>5</u>
Sheets of Drawing	<u>3</u>

**WARNING:**

DO NOT submit original drawings. A high quality copy of the drawings should be supplied when filing a patent application. The drawings that are submitted to the Office must be on strong, white, smooth, and non-shiny paper and meet the standards according to § 1.84. If corrections to the drawings are necessary, they should be made to the original drawing and a high-quality copy of the corrected original drawing then submitted to the Office. Only one copy is required or desired. For comments or proposed then-new 37 CFR 1.84, see Notice of March 9, 1988 (1990 O.G. 57-62).

NOTE: "Identifying indicia, if provided, should include the application number or the title of the invention, inventor's name, docket number (if any), and the name and telephone

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number of a person to call if the Office is unable to match the drawings to the proper application. This information should be placed on the back of each sheet of drawing a minimum distance of 1.5 cm. (5/8 inch) down from the top of the page ..."37 CFR 1.84 (c)).

(complete the following, if applicable)

- ☐ The enclosed drawing(s) are photograph(s), and there is also attached a "PETITION TO ACCEPT PHOTOGRAPH(S) AS DRAWING(S)." 37 CFR 1.84(b).
- ☐ formal
- ☒ informal

B. Other Papers Enclosed   X  

Pages of declaration and power of attorney   2  

Pages of abstract   1  

Assignment and Cover Sheet           

Other   Verified Statement Claiming Small Entity Status  

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4. Additional papers enclosed

- ☐ Amendment to claims
- ☐ Cancel in this applications claims            before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)
- ☐ Add the claims shown on the attached amendment. (Claims added have been numbered consecutively following the highest numbered original claims.)
- ☐ Preliminary Amendment
- ☒ Information Disclosure Statement (37 CFR 1.98)
- ☒ Form PTO-1449 (PTO/SB/08A and 08B)
- ☒ Citations

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- ☐ Declaration of Biological Deposit
- ☐ Submission of "Sequence Listing," computer readable copy and/or amendment pertaining thereto for biotechnology invention containing nucleotide and/or amino acid sequence.
- ☐ Authorization of Attorney(s) to Accept and Follow Instructions from Representative
- ☐ Request For Nonpublication of Application Under 35 U.S.C. § 122(b), 37 C.F.R. § 1.213(a)
- ☐ Special Comments
- ☐ Other \_\_\_\_\_

5. Declaration or oath (including power of attorney)

NOTE: A newly executed declaration is not required in a continuation or divisional application provided that the prior nonprovisional application contained a declaration as required, the application being filed is by all or fewer than all the inventors named in the prior application, there is no new matter in the application being filed, and a copy of the executed declaration filed in the prior application (showing the signature or an indication thereon that it was signed) is submitted. The copy must be accompanied by a statement requesting deletion of the names of person(s) who are not inventors of the application being filed. If the declaration in the prior application was filed under § 1.47, then a copy of that declaration must be filed accompanied by a copy of the decision granting § 1.47 status or, if a nonsigning person under § 1.47 has subsequently joined in a prior application, then a copy of the subsequently executed declaration must be filed. See 37 CFR §§ 1.63(d) (1)-(3).

NOTE: A declaration filed to complete an application must be executed, identify the specification to which it is directed, identify each inventor by full name including family name and at least one given name, without abbreviation together with any other given name or initial, and the residence, post office address and country or citizenship of each inventor, and state whether the inventor is a sole or joint inventor. 37 CFR § 1.63(a)(1)-(4).

[X] Enclosed,

executed by (*check all applicable boxes*)

[X] inventor(s).

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- ☐ legal representative of inventor(s). 37 CFR 1.42 or 1.43
- ☐ joint inventor or person showing a proprietary interest on behalf of inventor who refused to sign or cannot be reached.
- ☐ this is the petition required by 37 CFR 1.47 and the statement required by 37 CFR 1.47 is also attached.

See item 13 below for fee.

- ☐ Not Enclosed.

NOTE: Where the filing is a completion in the U.S. of an International Application or where the completion of the U.S. application contains subject matter in addition to the International Application, the application may be treated as a continuation or continuation-in-part, as the case may be, utilizing ADDED PAGE FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION CLAIMED.

- ☐ Application is made by a person authorized under 37 CFR 1.41(c) on behalf of *all* the above named inventor(s).

**(The declaration or oath, along with the surcharge required by 37 CFR 1.16(e) can be filed subsequently).**

- ☐ Showing that the filing is authorized.

*(not required unless called into question. 37 CFR 1.41(d)).*

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6. Inventorship Statement

WARNING:

If the named inventors are each not the inventors of all the claims an explanation, including the ownership of the various claims at the time the last claimed invention was made, should be submitted.

The inventorship for all the claims in this application are:

☒ The same.

or

☐ Not the same. An explanation, including the ownership of the various claims at the time the last claimed invention was made,

☐ is submitted.

☐ will be submitted.

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7. Publication/Nonpublication

Request is being submitted with this application on filing that the application be:

☒ published. Publication fee is enclosed.

☐ not published.

☐ A Request For Nonpublication of Application Under 35 U.S.C. §122(b), 37 C.F.R. §1.213(a) is submitted.

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8. Language

NOTE: An application including a signed oath or declaration may be filed in a language other than English. An English translation of the non-English language application and the processing fee of \$130.00 required by 37 CFR 1.17(k) is required to be filed with the application, or within such time as may be set by the Office. 37 CFR 1.52(d).

☐ English

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☐ Non-English

☐ The attached translation includes a statement translation and is accurate. 37 CFR 1.52(d).

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**9. Assignment**

☐ An assignment of the invention to \_\_\_\_\_

☐ is attached. A separate ☒ "COVER SHEET FOR ASSIGNMENT (DOCUMENT) ACCOMPANYING NEW PATENT APPLICATION" or ☐ FORM TO 1595 is also attached.

☐ will follow.

NOTE: "If an assignment is submitted with a new application, send two separate letters - one for the application and one for the assignment." Notice of May 4, 1990 (1114 O.G. 77-78).

**WARNING:**

A newly executed "CERTIFICATE UNDER 37 CFR 3.73(b)" must be filed when a continuation-in-part application is filed by an assignee. Notice of April 30, 1993, 1150 O.G. 62-64.

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**10. Certified Copy**

Certified copy(ies) of application(s):

<u>Country</u>	<u>Appln.</u>	<u>No.</u>	<u>Filed</u>
*			

<u>Country</u>	<u>Appln.</u>	<u>No.</u>	<u>Filed</u>
*			

<u>Country</u>	<u>Appln.</u>	<u>No.</u>	<u>Filed</u>
*			

from which priority is claimed

☐ is/(are) attached

☐ will follow.

NOTE: The foreign application forming the basis for the claim for priority must be referred to in the oath or declaration. 37 CFR 1.55(a) and 1.63.

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NOTE: This item is for any foreign priority for which the application being filed directly relates. If any parent U.S. application or International Application from which this application claims benefit under 35 U.S.C. 120 is itself entitled to priority from a prior foreign application, then complete item 18 on the ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.

**11. Fee Calculation (37 CFR 1.16)**

**A.**

☒ Regular Application

**CLAIMS AS FILED**

	Number Filed		Number Extra		Rate	Basic Fee 37 CFR 1.16(a)
						\$ <u>710.00</u>
Total Claims						
(37 CFR 1.16(c))	22	-20 =	2	X	\$ 18.00	\$ <u>36.00</u>
Independent Claims						
(37 CFR 1.16(b))	5	-3 =	2	X	\$ 80.00	\$ <u>160.00</u>
Multiple dependent claim(s), if any (37 CFR 1.16(d))		+			\$270.00	\$ _____

☐ Amendment canceling extra claims enclosed.

☐ Amendment deleting multiple dependencies enclosed.

☐ Fee for extra claims is not being paid at this time.

NOTE: If the fees for extra claims are not paid on filing they must be paid or the claims canceled by amendment, prior to the expiration of the time period set for response by the Patent and Trademark Office in any notice of fee deficiency. 37 CFR 1.16(d).

Filing Fee Calculation \$ 906.00

**B.**

☐ Design Application  
(\$430.00—37 CFR 1.16(f))

Filing Fee Calculation \$ \_\_\_\_\_

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C.

☐ Plant Application  
(\$480.00—37 CFR 1.16(g))

**Filing Fee Calculation**

\$ \_\_\_\_\_

**12 Small Entity Statement(s)**

☒ Statement(s) that this is a filing by a small entity under 37 CFR 1.9 and 1.27 is (are) attached.

**WARNING:**

"Status as a small entity must be specifically established in each application or patent in which the status is available and desired. Status as a small entity in one application or patent does not affect any other application or patent, including applications or patents which are directly or indirectly dependent upon the application or patent in which the status has been established. The refiling of an application under § 1.53 as a continuation, division, or continuation-in-part (including a continued prosecution application under § 1.53 (d)), or the filing of a reissue application requires a new determination as to continued entitlement to small entity status for the continuing or reissue application. A nonprovisional application claiming benefit under 35 U.S.C. 119(e), 120, 121, or 365(c) of a prior application, or a reissue application may rely on a statement filed in the prior application or in the patent if the nonprovisional application or the reissue application includes a reference to the statement in the prior application or in the patent or includes a copy of the statement in the prior application or in the patent and status as a small entity is still proper and desired. The payment of the small entity basic statutory filing fee will be treated as such a reference for purposes of this section." 37 CFR §1.28(a)(2).

**(complete the following, if applicable)**

☐ Status as a small entity was claimed in prior application  
\_\_\_\_\_/\_\_\_\_\_, filed on \_\_\_\_\_, from which benefit is  
being claimed for this application under:

35 U.S.C. ☐ 119(e),  
☐ 120,  
☐ 121,  
☐ 365(c),

and which status as a small entity is still proper and desired.

☐ A copy of the statement in the prior application is included.

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Filing Fee Calculation (50% of A, B or C above)

\$ 453.00

*NOTE: Any excess of the full fee paid will be refunded if small entity status is established and a refund request are filed within 2 months of the date of timely payment of a full fee. The two-month period is not extendable under § 1.136. 37 CFR 1.28(a).*

13. Request for International-Type Search (37 CFR 1.104(d))

(complete, if applicable)

☐ Please prepare an international-type search report for this application at the time when national examination on the merits takes place.

14. Fee Payment Being Made At This Time

☐ Not Enclosed.

☐ No filing fee is to be paid at this time.

(This and the surcharge required by 37 CFR 1.16(e) can be paid subsequently.)

☒ Enclosed

<input checked="" type="checkbox"/> Filing fee	\$ <u>453.00</u>
<input type="checkbox"/> Recording assignment (\$40.00; 37 CFR 1.21(h)) (See attached COVER SHEET FOR ASSIGNMENT ACCOMPANYING NEW APPLICATION)	\$ _____
<input checked="" type="checkbox"/> Publication fee (\$300.00, 37 C.F.R. 1.18(d))	\$ <u>300.00</u>
<input type="checkbox"/> Petition fee for filing by other than all the inventors or person on behalf of the inventor where inventor refused to sign or cannot be reached. (\$130.00; 37 CFR 1.47 and 1.17(i))	\$ _____
<input type="checkbox"/> For processing an application with a specification in a non-English language. (\$130.00; 37 CFR 1.52(d) and 1.17(k))	\$ _____
<input type="checkbox"/> Processing and retention fee (\$130.00; 37 CFR 1.53(d) and 1.21(l))	\$ _____

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☐ Fee for international-type search report  
(\$40.00; 37 CFR 1.21(e))

\$ \_\_\_\_\_

NOTE: 37 CFR 1.21(l) establishes a fee for processing and retaining any application that is abandoned for failing to complete the application pursuant to 37 CFR 1.53(f) and this, as well as the changes to 37 CFR 1.53 and 1.78(a)(1), indicate that in order to obtain the benefit of a prior U.S. application, either the basic filing fee must be paid, or the processing and retention fee of § 1.21(l) must be paid within 1 year from notification under § 53(f).

**Total fees enclosed**

**\$ 753.00**

**15. Method of Payment of Fees**

☒ Check in the amount of \$753.00

☐ Charge Account No. 19-1995 in the amount of \$ \_\_\_\_\_. A duplicate of this transmittal is attached.

NOTE: Fees should be itemized in such a manner that it is clear for which purpose the fees are paid. 37 CFR 1.22(b).

**16. Authorization to Charge Additional Fees**

**WARNING:**

If no fees are to be paid on filing, the following items should not be completed.

**WARNING:**

Accurately count claims, especially multiple dependent claims, to avoid unexpected high charges, if extra claim charges are authorized.

☐ The Commissioner is hereby authorized to charge the following additional fees by this paper and during the entire pendency of this application to Account No. 19-1995.

☐ 37 CFR 1.16(a), (f) or (g) (filing fees)

☐ 37 CFR 1.16(b), (c) and (d) (presentation of extra claims)

NOTE: Because additional fees for excess or multiple dependent claims not paid on filing or on later presentation must only be paid or these claims canceled by

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amendment prior to the expiration of the time period set for response by the PTO in any notice of fee deficiency (37 CFR 1.16(d)), it might be best not to authorize the PTO to charge additional claim fees, except possibly when dealing with amendments after final action.

- ☐ 37 CFR 1.16(e), (surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application)
- ☐ 37 CFR §§1.17(a)(1)-(5) (extension fees pursuant to § 1.136(a)).
- ☐ 37 CFR 1.17(a)(1)-(5) (application processing fees)

NOTE: "... A written request may be submitted in an application that is an authorization to treat any concurrent or future reply, requiring a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. An authorization to charge all required fees, fees under § 1.17, or all required extension of time fees will be treated as a constructive petition for an extension of time in any concurrent or future reply requiring a petition for an extension of time under this paragraph for its timely submission. Submission of the fee set forth in § 1.17(a) will also be treated as a constructive petition for an extension of time in any concurrent reply requiring a petition for an extension of time under this paragraph for its timely submission." 37 CFR § 1.136(a)(3).

- ☐ 37 CFR 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 CFR 1.311 (b)).

NOTE: Where an authorization to charge the issue fee to a deposit account has been filed before the mailing of a Notice of Allowance, the issue fee will be automatically charged to the deposit account at the time of mailing the notice of allowance. 37 CFR 1.311(b).

NOTE: 37 CFR 1.28(b) requires "Notification of any change in status resulting in loss of entitlement to small entity status must be filed in the application...prior to paying, or at the time of paying...the issue fee..." From the wording of 37 CFR 1.28(b): (a) notification of change of status must be made even if the fee is paid as "other than a small entity"; and (b) no notification is required if the change is to another small entity.

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17. Instructions As To Overpayment

NOTE: "... Amounts of twenty-five dollars or less will not be returned unless specifically requested within a reasonable time, nor will the payer be notified of such amounts; amounts over twenty-five dollars may be returned by check or, if requested, by credit to a deposit account." 37 CFR § 1.26(a).

☒ Credit Account No. 19-1995

☐ Refund

SIGNATURE OF PRACTITIONER

Reg. No. 33,783

Tel. No. (310) 789-3200

SIGNATURE OF ATTORNEY

Kenneth L. Sherman, Esq.  
SHERMAN & SHERMAN  
2029 Century Park East  
Seventeenth Floor  
Los Angeles, California 90067

108090" EE42860

CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this New Application Transmittal and the documents referred to as attached therein are being deposited with the United States Postal Service on this date 6/8/01 in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EE506243698 US addressed to the: Assistant Commissioner for Patents, Washington, D. C. 20231.

Evelyn Manjiv  
(Type or print name of person mailing paper)

Evelyn Manjiv  
(Signature of person mailing paper)

WARNING:

Certificate of mailing (first class) or facsimile transmission procedures of 37 CFR 1.8 cannot be used to obtain a date of mailing or transmission for this correspondence.

WARNING:

Each paper or fee filed by "Express Mail" must have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 CFR 1.10(b).

"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight than can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

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☐ **Incorporation by reference of added pages**

*(Check the following item if the application in this transmittal claims the benefit of prior U.S. application(s) (including an international application entering the U.S. stage as a continuation, divisional or C-I-P application) and complete and attach the ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED).*

- ☐ Plus Added Pages for New Application Transmittal Where Benefit Of Prior U.S. Application(s) Claimed

Number of pages added \_\_\_\_\_

- 
- ☐ Plus Added Pages for Papers Referred To In Item 4 Above

Number of pages added \_\_\_\_\_

- 
- ☐ Plus Added Pages deleting names of inventor(s) named in prior application(s) who is/are no longer inventor(s) of the subject matter claimed in this application.

Number of pages added \_\_\_\_\_

- ☐ Plus "Assignment Cover Letter Accompanying New Application"

Number of pages added \_\_\_\_\_

- ☐ Statement Where No Further Pages Added

(If no further pages form a part of this transmittal, then end this transmittal with this page and check the following item)

- ☒ This transmittal ends with this page.

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